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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/003,349	12/06/2001	Harumi Anne Kuno	10018402-1	5233

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EXAMINER

CHEA, PHILIP J

ART UNIT PAPER NUMBER

2153

DATE MAILED: 07/03/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No. 10/003,349	Applicant(s) KUNO ET AL.	
	Examiner Philip J. Chea	Art Unit 2153	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 28 March 2006.
- 2a) ☐ This action is FINAL.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 19-37 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 19-37 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 06 December 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

This Office Action is in response to an Amendment filed March 28, 2006. Claims 19-37 are currently pending, of which claim 37 is new. Any rejection not set forth below has been overcome by the current Amendment.

#### ***Claim Rejections - 35 USC § 103***

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 19-37 are rejected under 35 U.S.C. 103(a) as being unpatentable over Meltzer et al. (US 6,226,675), herein referred to as Meltzer, and further in view of Li et al. (US 6,961,760), herein referred to as Li.

As per claims 19,25, Meltzer discloses

[claim 25] a communications interface for exchanging documents with a Web service and an external entity (see Fig. 11 [1101] and see column 77, lines 38-48);

a plurality of defined document type descriptions, each document type description specifying a type of document that can be used (see column 18, lines 42-55);

a set of defined interactions, each interaction specifying any expected inbound document types and any resulting outbound document types (see column 21, lines 33-40 and column 27, lines 18-49, where a participant specifies the compatible documents which it is willing to transact with);

a set of transformations for use in connection with the defined interactions, each transformation specifying how to convert one document type to another document type (see column 21, lines 41-54, where translation occurs to make the document usable by the destination), together with instructions for applying said transformations to compensate for mismatches between documents actually received and expected inbound document types (see column 22, lines 32-42); and

Art Unit: 2153

a transition structure that maps all permissible flows for a given conversation by identifying interactions from the set of defined interactions and specifying transitions between the identified interactions (see column 22, lines 43-51),

[claim 25] a control processor for exchanging documents with the Web service and with the external entity through the communications interface in accordance with the transition structure (see column 77, lines 38-48).

In considering wherein each limitation above is a separately defined component of said computer language, Meltzer does not expressly disclose that the specific steps above are a separately defined component. However, Meltzer discloses the limitations above are executed by processes and components that work together to achieve a successful conversation using documents (see column 78, line 44 – column 80, line 21 and Figs. 12,13, and 14, and 15). At the time of the invention it would have been obvious to one skilled in the art that the processes described by Meltzer can be separated and combined to produce any number of defined components and successfully achieve the result of a conversation using documents.

Although the system disclosed by Meltzer shows substantial features of the claimed invention (discussed above), it fails to disclose a common document structure.

Nonetheless, these features are well known in the art and would have been an obvious modification of the system disclosed by Meltzer, as evidenced by Li.

In an analogous art, Li discloses a system for transforming business messages to enable communication between parties in a distributed computing environment (see Abstract). Li further shows that a common document structure is used to communicate between the parties (see column 7, lines 31-67 to column 8, lines 1-26).

Given the teaching of Li, a person having ordinary skill in the art would have readily recognized the desirability and advantages of modifying Meltzer by employing a common document structure to communicate between parties, such as disclosed by Li, in order to facilitate electronic communications with business partners by providing services to define transformation logic.

Art Unit: 2153

As per claims 20,29 Meltzer in view of Li further disclose that at least one of the specified interactions allows for any of a plurality of inbound document types, and wherein the transition structure specifies different transitions depending upon which document type is actually received (see Meltzer column 23, lines 38-60).

As per claims 21,32 Meltzer in view of Li further disclose that the plurality of defined document type descriptions comprise XML stylesheets (see Meltzer column 23, lines 38-60).

As per claims 22,33, Meltzer in view of Li further disclose that the defined document type descriptions, the defined interactions and the set of transformations are available for defining additional transition structures that specify interactions and transitions for other desired conversations (see Meltzer column 23, lines 23-37).

As per claims 23,30, Meltzer in view of Li further disclose a second transition structure, corresponding to a second conversation, that identifies a second group of interactions from the set of defined interactions and specifies transitions between the interactions in the second group (see Meltzer column 24, lines 31-57).

As per claims 24,31, Meltzer in view of Li further disclose that at least some of the interactions in the second group also specify any applicable transformations (see Meltzer column 24, lines 31-57).

As per claim 26, Meltzer in view of Li further disclose that at least some of the interactions also specify any applicable transformations (see Meltzer column 21, lines 41-54).

As per claim 27, Meltzer in view of Li further disclose that both the transition structure and a plurality of transition structures for other Web services are accessible through a central Web-based registry (see Meltzer column 9, lines 35-44).

As per claim 28, Meltzer in view of Li further disclose that the transition structure defines permissible conversation flows from the perspective of the Web service (see Meltzer column 9, lines 35-44).

As per claim 34, Meltzer in view of Li further disclose that the control processor is located remotely from a processor executing the Web service (see Meltzer Fig. 11, where host services [1105] and [1106] are separated from document translator [1103]).

Art Unit: 2153

As per claims 35,36, Meltzer in view of Li further disclose that the common document structure comprises an extensible markup language (XML) (see Li column 7, lines 40-43).

As per claim 37, Meltzer in view of Li further disclose that the set of defined interactions models states of the given conversation, the transition structures defines flows between states of the given conversation, and each state is defined independently of how the given conversation was navigated to reach each state (see column 78, lines 15-34, and 44-60, showing an example of a defined interaction for a purchase order).

### ***Response to Arguments***

3. Applicant's arguments filed March 28, 2006 have been fully considered but they are not persuasive.

(A) Applicant contends that Meltzer in view of Li does not disclose a set of defined interactions.

(B) Applicant contends that Meltzer in view of Li does not disclose a communications interface for exchanging documents with a web service and an external entity, a control processor for exchanging documents with the web service and an entity, a control processor for exchanging documents with the web service and with the external entity through the communications interface in accordance with the transition structure, and a transformation component that maps document types using the set of transformations to compensate for mismatches between documents actually received from the external entity and expected inbound document types.

In considering (A), the Examiner respectfully disagrees. Examiner would like point out a cited portion of Metzler that describes a set of defined interactions and document type definitions that correspond to the defined interaction. Please refer to Meltzer column 27, lines 18-49, where defined interactions are considered business interface definitions such as order tracking, catalog service, etc.

Art Unit: 2153

In considering (B), the Examiner respectfully disagrees. Please see the rejection for claim 1 above, where limitations denoting [claim 25] are addressed with references to the cited prior art. In considering a transformation component that maps document types using the set of transformations to compensate for mismatches, the Examiner believes that the citation used to teach limitation (C) is sufficient to cover the limitation of a transformation component since they are similar in scope both teaching a compensation for mismatches between documents actually received and expected.

### ***Conclusion***

4. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Philip J. Chea whose telephone number is 571-272-3951. The examiner can normally be reached on M-F 7:00-4:30 (1st Friday Off).


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Glenn Burgess can be reached on 571-272-3949. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2153

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Philip J Chea  
Examiner  
Art Unit 2153

PJC 6/15/06



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